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PCTF Infrastructure (Technology & Operations) Conformance Profile

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1. Introduction to the PCTF Infrastructure (Technology & Operations) Conformance Profile

This document specifies the Conformance Criteria of the PCTF Infrastructure (Technology & Operations) Component, a component of the Pan-Canadian Trust Framework (PCTF). For a general introduction to the PCTF, including contextual information and the PCTF goals and objectives, please see the PCTF Model Overview.

The Conformance Criteria for the Infrastructure Component specify the characteristics of the technology and technology operations supporting the implementation of systems delivering service compliant with PCTF Profiles. The criteria are expressed in generic terms, recognizing that specific technologies or technology characteristics (e.g., protocols) are likely to be mandated, and will vary, within each individual Digital Identity Ecosystem.

Note: These conformance criteria do not replace existing policy or regulation; organizations are expected to comply with relevant legislation, policy, and regulations in their jurisdiction.

1.1 Conformance Criteria Keywords

The following keywords are used in the conformance criteria to indicate their precedence and/or general rigidity, and are to be interpreted as:

- **MUST** means that the requirement is absolute as part of the conformance criteria.
- **MUST NOT** means that the requirement is an absolute prohibition of the conformance criteria.
- **SHOULD** means that while there may exist valid reasons in particular circumstances to ignore the requirement, the full implications must be understood and carefully weighed before choosing to not adhere to the conformance criteria or choosing a different option as specified by the conformance criteria.
- **SHOULD NOT** means that a valid exception reason may exist in particular circumstances when the requirement is acceptable or even useful, however, the full implications should be understood and the case carefully weighed before choosing to not conform to the requirement as described.
- **MAY** means that the requirement is discretionary but recommended.

Note: The above keywords appear in **bold typeface** and ALL CAPS throughout this conformance profile.

1.2 Infrastructure Conventions

Each PCTF component includes conventions that ensure consistent use and interpretation of terms and concepts appearing in the component. The PCTF Infrastructure (Technology & Operations) Component Overview provides conventions for this component. These conventions include definitions and descriptions of the following items that are referred to in this conformance profile:

- Key terms and concepts
- Abbreviation and acronyms

Notes:

- Conventions may vary between PCTF components. Readers are encouraged to review the conventions for each PCTF component they are reading.
- Defined Terms – for purposes of this conformance profile, terms and definitions listed in both the PCTF Infrastructure Component Overview and the PCTF Glossary apply. Key terms and concepts described and defined in this section, or the PCTF Infrastructure Component Overview, or the PCTF Glossary are capitalized throughout this document.
- Hypertext Links – hypertext links may be embedded in electronic versions of this document. All links were accessible at time of writing.

2. Infrastructure Component Conformance Criteria

The Conformance Criteria listed below are organized into three broad categories. These are:

- **POL** – policy and plan requirements that define and support the technology architecture under which the system components participating in the Digital Identity Ecosystem operate.
- **TECH** – technology-related requirements
- **OPS** – technology operations

For ease of use, the Criteria are numbered within their section and may be referred to using these identifiers (e.g., the first criterion in the POL section may be referenced as POL-1).

Criteria scope may be assumed to apply only to the technology or system components leveraged by an organization in its provision or consumption of service within a Digital Identity Ecosystem.

Note:

Assurance levels associated with the individual criteria below do not correspond to traditional authentication, identity, and credential assurance levels. Instead, they are intended to indicate a level of technology and infrastructure maturity in support of those assurances. For example, an organization supporting a Level 2 Identity Assurance process should meet all of the criteria listed as appropriate for Level 2 below.

Level 4 is out of scope for this version. Reference is retained as a placeholder for future development.

Note: It is important to note that these represent capabilities to be addressed and should not be interpreted as individual policy or plan artifacts. Many of these capabilities are typically combined and addressed in a single artifact.

Reference	Conformance Criteria				
POL	**Requirements relating to the technology policies and plans required to support the infrastructure leveraged to service the Digital Identity Ecosystem.**	**LOA1**	**LOA2**	**LOA3**	**LOA4**
1	Any policies, plans, or artifacts that are required in any other criteria of this profile **MUST** be reviewed and updated on a continuous basis to reflect evolving business or operational requirements.	X	X	X	
2	Business capability and service architecture **MUST** be formalized and documented.	X	X	X	
3	A Risk Assessment policy **MAY** be developed, documented, and disseminated within the organization.	X			
4	A Risk Assessment policy **MUST** be developed, documented, and disseminated within the organization.		X	X	

5	A Risk Assessment policy **MAY** address, but is not limited to the following: • Context and priorities for managing risk (including security and privacy risk). This can include evaluation of risk at organizational level, business process level, and/or system level. • Categorization of system(s) and the information processed, stored, and transmitted by the system(s) based on an analysis of the impact of loss. • Identification of key risk factors, including but not limited to: impact of loss; threats, vulnerabilities, and likelihood of occurrence.	X			
6	A Risk Assessment policy **SHOULD** address, but is not limited to the following: • Context and priorities for managing risk (including security and privacy risk). This can include evaluation of risk at organizational level, business process level, and/or system level. • Categorization of system(s) and the information processed, stored, and transmitted by the system(s) based on an analysis of the impact of loss. • Identification of key risk factors, including but not limited to: impact of loss; threats, vulnerabilities, and likelihood of occurrence.		X	X	

| 7 | A Risk Assessment plan **MAY** address, but is not limited to, the following:

• A plan for designing system controls to mitigate risk to acceptable levels.
• A plan to create/maintain implementation guide(s) and standard operating procedure(s) for operating controls.
• A plan to assess controls to determine if they are implemented correctly, operating as intended, and producing the desired outcomes with respect to satisfying entity's requirements (including security and privacy requirements).
• Plans to monitor, and report on, the system and the associated controls on an ongoing basis to include assessing control effectiveness, documenting changes to the system and environment of operation conducting risk assessments and impact analysis. | X | | | | |

8	A Risk Assessment plan **SHOULD** address, but is not limited to the following: • A plan for designing system controls to mitigate risk to acceptable levels. • A plan to create/maintain implementation guide(s) and standard operating procedure(s) for operating controls. • A plan to assess controls to determine if they are implemented correctly, operating as intended, and producing the desired outcomes with respect to satisfying Entity's requirements (including security and privacy requirements). • Plans to monitor, and report on, the system and the associated controls on an ongoing basis to include assessing control effectiveness, documenting changes to the system and environment of operation conducting risk assessments and impact analysis.			X	X	
9	An Audit and Accountability policy **MAY** be developed, documented, and disseminated within the organization.	X				
10	An Audit and Accountability policy **MUST** be developed, documented, and disseminated within the organization.			X	X	
11	An Audit and Accountability plan **MAY** be developed, documented, and disseminated within the organization.	X				
12	An Audit and Accountability plan **MUST** be developed, documented, and disseminated within the organization.			X	X	

13	An Audit and Accountability plan **MAY** address and detail, but is not limited to, the following: • Data owners; • Auditable events; • Content of audit records; • Audit storage capacity; • Response to audit processing failures; • Audit review, analysis, and reporting processes; • Protection of audit information; • Audit record retention and disposal.	X			
14	An Audit and Accountability plan **SHOULD** address and detail, but is not limited to, the following: • Data owners; • Auditable events; • Content of audit records; • Audit storage capacity; • Response to audit processing failures; • Audit review, analysis, and reporting processes; • Protection of audit information; • Audit record retention and disposal.		X	X	
15	A Security Assessment policy **MAY** be developed, documented, and disseminated within the organization.	X			
16	A Security Assessment policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
17	A Security Assessment plan **MAY** be developed, documented, and disseminated within the organization.	X			
18	A Security Assessment plan **MUST** be developed, documented, and disseminated within the organization.		X	X	

19	A Security Assessment plan **MAY** detail, but is not limited to, the following: • The security controls under assessment; • Assessment tools; • Roles and responsibilities; • Security assessment procedures; • Assessment review, analysis, and reporting.	X			
20	A Security Assessment plan **SHOULD** detail, but is not limited to, the following: • The security controls under assessment; • Assessment tools; • Roles and responsibilities; • Security assessment procedures; • Assessment review, analysis, and reporting.		X	X	
21	An IT Contingency policy **MAY** be developed, documented, and disseminated within the organization.	X			
22	An IT Contingency policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
23	An IT Contingency plan **MAY** be developed, documented, and disseminated within the organization.	X			
24	An IT Contingency plan **MUST** be developed, documented, and disseminated within the organization.		X	X	

25	An IT Contingency plan **MAY** detail, but is not limited to, the following: • Essential missions and business functions and associated contingency requirements; • Recovery objectives, restoration priorities, and metrics; • Contingency roles, responsibilities, and assigned individuals with contact information; • Maintenance of essential missions and business functions despite an information system disruption, compromise, or failure; • Full information system restoration, including system data and personal information, without deterioration of the security safeguards originally planned and implemented.	X			
26	An IT Contingency plan **SHOULD** detail, but is not limited to, the following: • Essential missions and business functions and associated contingency requirements; • Recovery objectives, restoration priorities, and metrics; • Contingency roles, responsibilities, and assigned individuals with contact information; • Maintenance of essential missions and business functions despite an information system disruption, compromise, or failure; • Full information system restoration, including system data and personal information, without deterioration of the security safeguards originally planned and implemented.		X	X	

27	An Identification and Authentication policy **MAY** be developed, documented, and disseminated within the organization.	X			
28	An Identification and Authentication policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
29	An Identification and Authentication plan **MAY** be developed, documented, and disseminated within the organization.	X			
30	An Identification and Authentication plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
31	An Identification and Authentication plan **MAY** detail, but is not limited to, the following: • Roles, and responsibilities; • Identification and authentication of organizational users; • Identification and authentication of non-organizational users; • Identification and authentication of devices; • Identifier management; • Authenticator management and feedback.	X			

32	An Identification and Authentication plan **SHOULD** detail, but is not limited to, the following: • Roles, and responsibilities; • Identification and authentication of organizational users; • Identification and authentication of non-organizational users; • Identification and authentication of devices; • Identifier management; • Authenticator management and feedback.		X	X	
33	A System and Communication Protection Policy **MAY** be developed, documented, and disseminated within the organization.	X			
34	A System and Communication Protection Policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
35	A System and Communication Protection Plan **MAY** be developed, documented, and disseminated within the organization.	X			
36	A System and Communication Protection Plan **MUST** be developed, documented, and disseminated within the organization.		X	X	

37	A System and Communication Protection plan **MAY** detail, but is not limited to, the following: • Application partitioning; • Information in shared resources; • Denial of service protection; • Boundary protection; • Transmission confidentiality and integrity; • Protection of information at rest; • Session termination; • Cryptographic key management; • Cryptographic protection; • Collaborative computing devices; • Session authenticity; • Process isolation.	X			
38	A System and Communication Protection plan **SHOULD** detail, but is not limited to, the following: • Application partitioning; • Information in shared resources; • Denial of service protection; • Boundary protection; • Transmission confidentiality and integrity; • Protection of information at rest; • Session termination; • Cryptographic key management; • Cryptographic protection; • Collaborative computing devices; • Session authenticity; • Process isolation.		X	X	
39	An Incident Response policy **MAY** be developed, documented, and disseminated within the organization.	X			

40	An Incident Response policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
41	An Incident Response plan **MAY** be developed, documented, and disseminated within the organization.	X			
42	An Incident Response plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
43	An Incident Response plan **MAY** detail, but is not limited to, the following: • A roadmap for implementing incident response capability; • Unique requirements of the organization, which relate to mission, size, structure, and functions; • Reportable incidents; • Metrics for measuring the incident response capability within the organization; • The resources and management support needed to effectively maintain the incident response capability; • The procedures necessary for identification, containment, eradication, recovery, reporting, and plan revision.	X			

44	An Incident Response plan **SHOULD** detail, but is not limited to, the following: • Roles and responsibilities; • A roadmap for implementing incident response capability; • Unique requirements of the organization, which relate to mission, size, structure, and functions; • Reportable incidents; • Metrics for measuring the incident response capability within the organization; • The resources and management support needed to effectively maintain the incident response capability; • The procedures necessary for identification, containment, eradication, recovery, reporting, and plan revision.		X	X	

45	A System and Information Integrity policy **MAY** be developed, documented, and disseminated within the organization that: • Addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; • Is consistent with applicable laws, regulations, policies, standards, and guidelines; • Designates an organization-defined official to manage the development, documentation, and dissemination of the system and information integrity policy and procedures; • Review and update the current system and information integrity related policies and procedures at a defined frequency or due to defined events. **Note:** Events that may precipitate an update to system and information integrity policy and procedures include assessment or audit findings, security incidents or breaches, or changes in applicable laws, orders in council, directives, regulations, policies, standards, and guidelines. Simply restating controls does not constitute an organizational policy or procedure.	X				

46	A System and Information Integrity policy **MUST** be developed, documented, and disseminated within the organization that: • Addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; • Is consistent with applicable laws, regulations, policies, standards, and guidelines; • Designates an organization-defined official to manage the development, documentation, and dissemination of the system and information integrity policy and procedures; • Review and update the current system and information integrity related policies and procedures at a defined frequency or due to defined events. **Note:** Events that may precipitate an update to system and information integrity policy and procedures include assessment or audit findings, security incidents or breaches, or changes in applicable laws, orders in council, directives, regulations, policies, standards, and guidelines. Simply restating controls does not constitute an organizational policy or procedure.			X	X	
47	A System and Information Integrity plan **MAY** be developed, documented, and disseminated within the organization.	X				
48	A System and Information Integrity plan **MUST** be developed, documented, and disseminated within the organization.			X	X	

49	A System and Information integrity plan **MAY** detail, but is not limited to, the following: • Identification, reporting and correction of system flaws; • Testing of software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation; • Installation of security-relevant software and firmware updates within a defined period of time; • Incorporation of flaw remediation into the organizational configuration management process.	X			
50	A System and Information integrity plan **MUST** detail, but is not limited to, the following: • Identification, reporting and correction of system flaws; • Testing of software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation; • Installation of security-relevant software and firmware updates within a defined period of time; • Incorporation of flaw remediation into the organizational configuration management process.		X	X	
51	A Configuration Management policy **MAY** be developed, documented, and disseminated within the organization.	X			
52	A Configuration Management policy **MUST** be developed, documented, and disseminated within the organization.		X	X	

53	A Configuration Management plan **MAY** be developed, documented, and disseminated within the organization.	X			
54	A Configuration Management plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
55	A Configuration Management plan **MAY** detail, but is not limited to the following: • Roles, responsibilities, and configuration management processes and procedures; • Processes for identifying configuration items throughout the system development life cycle and for managing the configuration of the configuration items; • The configuration items, and any related baselines to be managed under the plan.	X			
56	A Configuration Management plan **SHOULD** detail, but is not limited to the following: • Roles, responsibilities, and configuration management processes and procedures; • Processes for identifying configuration items throughout the system development life cycle and for managing the configuration of the configuration items; • The configuration items, and any related baselines to be managed under the plan.		X	X	
57	An Information Management and Privacy Protection policy **MAY** be developed, documented, and disseminated within the organization.	X			

58	An Information Management and Privacy Protection policy **MUST** be developed, documented, and disseminated within the organization.			X	X	
59	An Information Management and Privacy Protection plan **MAY** be developed, documented, and disseminated within the organization.	X			
60	An Information Management and Privacy Protection plan **MUST** be developed, documented, and disseminated within the organization.			X	X	
61	An Information Management and Privacy Protection plan **MAY** detail, but is not limited to, the following: • Roles and responsibilities; • Data definitions; • Information management and privacy protection principles; • Governing authorities and frameworks; • Breach reporting.	X			
62	An Information Management and Privacy Protection plan **SHOULD** detail, but is not limited to, the following: • Roles and responsibilities; • Data definitions; • Information management and privacy protection principles; • Governing authorities and frameworks; • Breach reporting.			X	X	
63	A System Maintenance policy **MAY** be developed, documented, and disseminated within the organization.	X			

64	A System Maintenance policy **MUST** be developed, documented, and disseminated within the organization.			X	X	
65	A System Maintenance plan **MAY** be developed, documented, and disseminated within the organization.	X				
66	A System Maintenance plan **MUST** be developed, documented, and disseminated within the organization.			X	X	
67	A System Maintenance plan **MAY** detail, but is not limited to, the following: • Scheduling, documenting and reviewing maintenance records; • The use of automated maintenance activities; • Inspection, restriction, usage, and update of maintenance tools; • Non-local maintenance activities; • Timeliness of maintenance.	X				
68	A System Maintenance plan **SHOULD** detail, but is not limited to, the following: • Scheduling, documenting and reviewing maintenance records; • The use of automated maintenance activities; • Inspection, restriction, usage, and update of maintenance tools; • Non-local maintenance activities; • Timeliness of maintenance.			X	X	
69	A Technical Access Control policy **MAY** be developed, documented, and disseminated within the organization.	X				
70	A Technical Access Control policy **MUST** be developed, documented, and disseminated within the organization.			X	X	

71	A Technical Access Control plan **MAY** be developed, documented, and disseminated within the organization.	X			
72	A Technical Access Control plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
73	A Technical Access Control plan **MAY** detail, but is not limited to, the following: • Account management; • Access enforcement; • Information flow enforcement; • Separation of duties; • Least privilege; • Unsuccessful login attempts; • Remote access; • Wireless access; • System notifications; • Session management; • Security and privacy attributes; • Use of external systems; • Data mining protection.	X			
74	A Technical Access Control plan **SHOULD** detail, but is not limited to, the following: • Account management; • Access enforcement; • Information flow enforcement; • Separation of duties; • Least privilege; • Unsuccessful login attempts; • Remote access; • Wireless access; • System notifications; • Session management; • Security and privacy attributes; • Use of external systems; • Data mining protection.		X	X	

75	A Physical Access Control policy **MAY** be developed, documented, and disseminated within the organization.	X			
76	A Physical Access Control policy **MUST** be developed, documented, and disseminated within the organization.		X	X	
77	A Physical Access Control plan **MAY** be developed, documented, and disseminated within the organization.	X			
78	A Physical Access Control plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
79	A Physical Access Control plan **SHOULD** detail, but is not limited to, the following: • Authorization; • Control management; • Monitoring; • Visitor Access; • Asset monitoring and tracking; • Alternative work sites.	X			
80	A Physical Access Control plan **SHOULD** detail, but is not limited to, the following: • Authorization; • Control management; • Monitoring; • Visitor Access; • Asset monitoring and tracking; • Alternative work sites.		X	X	
81	A Personnel Security policy **MAY** be developed, documented, and disseminated within the organization.	X			
82	A Personnel Security policy **MUST** be developed, documented, and disseminated within the organization.		X	X	

83	A Personnel Security plan **MAY** be developed, documented, and disseminated within the organization.	X			
84	A Personnel Security plan **MUST** be developed, documented, and disseminated within the organization.		X	X	
85	A Personnel Security plan **MAY** detail, but is not limited to, the following: • Personnel screening; • Personnel termination; • Personnel transfer; • Access agreements including non-disclosure, acceptable use, conflict of interest, etc.; • External personnel security.	X			
86	A Personnel Security plan **SHOULD** detail, but is not limited to, the following: • Personnel screening; • Personnel termination; • Personnel transfer; • Access agreements including non-disclosure, acceptable use, conflict of interest, etc.; • External personnel security.		X	X	
Reference	**Conformance Criteria**				
TECH	**Technology requirements required by organizations servicing the Digital Identity Ecosystem**	**LOA1**	**LOA2**	**LOA3**	**LOA4**
1	Tools and techniques **MAY** be in place that provide malicious code protection mechanisms at information system entry and exit points (e.g., firewalls, gateways, host intrusion detection systems) to detect and eradicate malicious code.	X			

2	Tools and techniques **SHOULD** be in place that provide malicious code protection mechanisms at information system entry and exit points (e.g., firewalls, gateways, host intrusion detection systems) to detect and eradicate malicious code.		X		
3	Tools and techniques **MUST** be in place that provide malicious code protection mechanisms at information system entry and exit points (e.g., firewalls, gateways, host intrusion detection systems) to detect and eradicate malicious code.			X	
4	Malicious code protection tools **MAY** update malicious code protection mechanisms in alignment with policy.	X			
5	Malicious code protection tools **SHOULD** update malicious code protection mechanisms in alignment with policy.		X		
6	Malicious code protection tools **MUST** update malicious code protection mechanisms in alignment with policy.			X	
7	The information system **SHOULD** ensure the confidentiality and integrity of Digital Identity information at rest and in transit. Please refer to the PCTF Privacy Conformance Profile for additional related requirements in this area.	X			
8	The information system **MUST** ensure the confidentiality and integrity of Digital Identity information at rest and in transit. Please refer to the PCTF Privacy Conformance Profile for additional related requirements in this area.		X	X	
9	The information system **MAY** ensure the authenticity of communication sessions (e.g., unique randomized session identifiers, session identifier invalidation upon logout, proper application of approved encryption certificates based on enterprise policy).	X			

10	The information system **SHOULD** ensure the authenticity of communication sessions (e.g., unique randomized session identifiers, session identifier invalidation upon logout, proper application of approved encryption certificates based on enterprise policy).		X		
11	The information system **MUST** ensure the authenticity of communication sessions (e.g., unique randomized session identifiers, session identifier invalidation upon logout, proper application of approved encryption certificates based on enterprise policy).			X	
12	The information system **MAY** invalidate session identifiers upon user logout or other session termination. Please also refer to the Session Termination section of the PCTF Authentication Conformance Profile for additional context.	X			
13	The information system **SHOULD** invalidate session identifiers upon user logout or other session termination. Please also refer to the Session Termination section of the PCTF Authentication Conformance Profile for additional context.		X		
14	The information system **MUST** invalidate session identifiers upon user logout or other session termination. Please also refer to the Session Termination section of the PCTF Authentication Conformance Profile for additional context.			X	
15	The organization **MAY** issue public key certificates in accordance with organization-defined certificate policy or obtain public key certificates from a well-known public trust anchor certificate authority.	X			

16	The organization **MUST** issue public key certificates in accordance with organization-defined certificate policy or obtain public key certificates from a well-known public trust anchor certificate authority.		X	X	
17	The information system **MAY** terminate the network connection associated with a user session, or system-to-system communication session, at the end of the session or after a predefined period of inactivity.	X			
18	The information system **SHOULD** terminate the network connection associated with a user session, or system-to-system communication session, at the end of the session or after a predefined period of inactivity.		X		
19	The information system **MUST** terminate the network connection associated with a user session, or system-to-system communication session, at the end of the session or after a predefined period of inactivity.			X	
20	The organization **MAY** employ integrity verification tools to detect unauthorized changes to software, firmware, and information.	X			
21	The organization **SHOULD** employ integrity verification tools to detect unauthorized changes to software, firmware, and information.		X	X	
22	Tools **MAY** be in place to monitor inbound and outbound communications traffic for unusual or unauthorized activities or conditions.	X			
23	Tools **SHOULD** be in place to monitor inbound and outbound communications traffic for unusual or unauthorized activities or conditions.		X		

24	Tools **MUST** be in place to monitor inbound and outbound communications traffic for unusual or unauthorized activities or conditions.			X	
25	Monitoring and alarming tools, devices, and techniques **MAY** be employed that will monitor the information system to: • Detect attacks and indicators of potential attacks; • Detect unauthorized local, network, and remote connections; • Detect inbound and outbound communications traffic for unusual or unauthorized activities or conditions; • Mitigate the potential for insider threats and data exfiltration. Additional guidance can be found in the Threat Monitoring section of the PCTF Authentication Conformance Profile.	X			
26	Monitoring and alarming tools, devices, and techniques **SHOULD** be employed that will monitor the information system to: • Detect attacks and indicators of potential attacks; • Detect unauthorized local, network, and remote connections; • Detect inbound and outbound communications traffic for unusual or unauthorized activities or conditions; • Mitigate the potential for insider threats and data exfiltration. Additional guidance can be found in the Threat Monitoring section of the PCTF Authentication Conformance Profile.		X		

27	Monitoring and alarming tools, devices, and techniques **MUST** be employed that will monitor the information system to: • Detect attacks and indicators of potential attacks; • Detect unauthorized local, network, and remote connections; • Detect inbound and outbound communications traffic for unusual or unauthorized activities or conditions; • Mitigate the potential for insider threats and data exfiltration. Additional guidance can be found in the Threat Monitoring section of the PCTF Authentication Conformance Profile.			X	
28	Boundary protection tools, devices, and techniques **MAY** be employed that will: • Monitor and control communications at the external boundary of the system and at key internal boundaries within the system; • Implement subnetworks for publicly accessible system components that are logically separated from internal organizational networks; and • Connect to external networks or information systems only through managed interfaces consisting of boundary protection devices arranged in accordance with an organizational security architecture.	X			

29	Boundary protection tools, devices, and techniques **SHOULD** be employed that will: • Monitor and control communications at the external boundary of the system and at key internal boundaries within the system; • Implement subnetworks for publicly accessible system components that are logically separated from internal organizational networks; and • Connect to external networks or information systems only through managed interfaces consisting of boundary protection devices arranged in accordance with an organizational security architecture.		X		
30	Boundary protection tools, devices, and techniques **MUST** be employed that will: • Monitor and control communications at the external boundary of the system and at key internal boundaries within the system; • Implement subnetworks for publicly accessible system components that are logically separated from internal organizational networks; and • Connect to external networks or information systems only through managed interfaces consisting of boundary protection devices arranged in accordance with an organizational security architecture.			X	
31	The organization **MAY** employ tools and techniques to protect against or limit the effects of denial of service attacks.	X			

32	The organization **SHOULD** employ tools and techniques to protect against or limit the effects of denial of service attacks.		X		
33	The organization **MUST** employ tools and techniques to protect against or limit the effects of denial of service attacks.			X	
34	The information system **MAY** uniquely identify and authenticate non-organizational users, or processes acting on behalf of non-organizational users, where authentication is appropriate.	X			
35	The information system **SHOULD** uniquely identify and authenticate non-organizational users, or processes acting on behalf of non-organizational users, where authentication is appropriate.		X		
36	The information system **MUST** uniquely identify and authenticate non-organizational users, or processes acting on behalf of non-organizational users, where authentication is appropriate.			X	
37	The organization **MAY** ensure that unencrypted static authenticators are not embedded in applications or access scripts, or stored on function keys. Additional guidance can be found in the credential issuance and authentication sections of the PCTF Authentication Conformance profile.	X			
38	The organization **MUST** ensure that unencrypted static authenticators are not embedded in applications or access scripts, or stored on function keys. Additional guidance can be found in the credential issuance and authentication sections of the PCTF Authentication Conformance profile.		X	X	

39	The organization **MAY** employ automated tools to determine if password authenticators are sufficiently strong to satisfy the requirements of the organization's security policy. Additional guidance can be found in the credential issuance and authentication sections of the PCTF Authentication Conformance profile.	X			
40	The organization **SHOULD** employ automated tools to determine if password authenticators are sufficiently strong to satisfy the requirements of the organization's security policy. Additional guidance can be found in the credential issuance and authentication sections of the PCTF Authentication Conformance profile.		X	X	
41	The organization **MAY** implement tools to defend against authentication replay and secret guessing attacks to gain network access. Additional guidance can be found in the Threat Mitigation section of the PCTF Authentication Conformance Profile.	X			
42	The organization **SHOULD** implement tools to defend against authentication replay and secret guessing attacks to gain network access. Additional guidance can be found in the Threat Mitigation section of the PCTF Authentication Conformance Profile.		X		

43	The organization **MUST** implement tools to defend against authentication replay and secret guessing attacks to gain network access. Additional guidance can be found in the Threat Mitigation section of the PCTF Authentication Conformance Profile.			X	
44	The organization **MAY** analyze changes to the information system to determine potential security impacts prior to change implementation.	X			
45	The organization **SHOULD** analyze changes to the information system to determine potential security impacts prior to change implementation.		X		
46	The organization **MUST** analyze changes to the information system to determine potential security impacts prior to change implementation.			X	
47	The organization **MAY** have automated intrusion detection and alerting technology in place for all technology components used in the delivery or consumption of digital identity	X			
48	The organization **SHOULD** have automated intrusion detection and alerting technology in place for all technology components used in the delivery or consumption of digital identity		X		
49	The organization **MUST** have automated intrusion detection and alerting technology in place for all technology components used in the delivery or consumption of digital identity			X	
50	The organization **MAY** proactively assess and maintain the adequacy of systems and services, including system resource levels and the currency of hardware and operating system patch levels.	X			

51	The organization **MUST** proactively assess and maintain the adequacy of systems and services, including system resource levels and the currency of hardware and operating system patch levels.		X	X	
52	The information system **MAY** have security safeguards to protect its memory from unauthorized code execution.	X			
53	The information system **SHOULD** have security safeguards to protect its memory from unauthorized code execution.		X	X	
54	The information system **MAY** deploy cryptographic tools and other data protection methods and technology to ensure privacy is maintained during information exchanges. Additional guidance can be found in the PCTF Privacy Conformance Profile.	X			
55	The information system **SHOULD** deploy cryptographic tools and other data protection methods and technology to ensure privacy is maintained during information exchanges. Additional guidance can be found in the PCTF Privacy Conformance Profile.		X		
56	The information system **MUST** deploy cryptographic tools and other data protection methods and technology to ensure privacy is maintained during information exchanges. Additional guidance can be found in the PCTF Privacy Conformance Profile.			X	
57	Cryptographic tools used to ensure privacy is maintained during information exchanges **MAY** meet an industry-recognized validation standard (e.g., FIPS 140-2 or equivalent).	X			

58	Cryptographic tools used to ensure privacy is maintained during information exchanges **SHOULD** meet an industry-recognized validation standard (e.g., FIPS 140-2 or equivalent).		X	X	
	Conformance Criteria				
OPS	**Operational requirements for organizations servicing the Digital Identity Ecosystem.**	**LOA1**	**LOA2**	**LOA3**	**LOA4**
1	There **MAY** be an operational standard requiring developers to follow a documented development process that explicitly addresses security requirements, identifies the technology standards and toolsets to be used, and identifies the specific work tool configurations to be used.	X			
2	There **SHOULD** be an operational standard requiring developers to follow a documented development process that explicitly addresses security requirements, identifies the technology standards and toolsets to be used, and identifies the specific work tool configurations to be used.		X		
3	There **MUST** be an operational standard requiring developers to follow a documented development process that explicitly addresses security requirements, identifies the technology standards and toolsets to be used, and identifies the specific work tool configurations to be used.			X	
4	The organization **MAY** manage the system components using its defined system development life cycle that incorporates security concerns.	X			
5	The organization **SHOULD** manage the system components using its defined system development life cycle that incorporates security concerns.		X		

6	The organization **MUST** manage the system components using its defined system development life cycle that incorporates security concerns.			X	
7	The organization **MAY** have formal information retention and disposition schedules subject to monitoring and audit to ensure compliance with its information management plan.	X			
8	The organization **SHOULD** have formal information retention and disposition schedules subject to monitoring and audit to ensure compliance with its information management plan.		X		
9	The organization **MUST** have formal information retention and disposition schedules subject to monitoring and audit to ensure compliance with its information management plan.			X	
10	Formal technology governance systems and processes (e.g., Governance Risk and Compliance/GRC or Integrated Risk Management/IRM) **MAY** be in place that include ongoing monitoring and activity audit controls.	X			
11	Formal technology governance systems and processes (e.g., Governance Risk and Compliance/GRC or Integrated Risk Management/IRM, governance task and workflow management, change management) **SHOULD** be in place that include ongoing monitoring and activity audit controls.		X	X	
12	The organization **MAY** periodically test restoration/recovery of information system components as per requirements defined in the contingency plan.	X			

13	The organization **SHOULD** periodically test restoration/recovery of information system components as per requirements defined in the contingency plan.		X		
14	The organization **MUST** periodically test restoration/recovery of information system components as per requirements defined in the contingency plan.			X	
15	Full testing, evaluation, and update of the contingency plan **MAY** be performed on a regular (e.g., biennial or annual preferred) basis.	X			
16	Full testing, evaluation, and update of the contingency plan **SHOULD** be performed on a regular (e.g., biennial or annual preferred) basis.		X		
17	Full testing, evaluation, and update of the contingency plan **MUST** be performed on a regular (e.g., biennial or annual preferred) basis.			X	
18	Comprehensive automated backup procedures **MAY** be in place. This capability includes backup of: • User-level information; • System-level information; • System and security documentation.	X			
19	Comprehensive automated backup procedures **SHOULD** be in place. This capability includes backup of: • User-level information; • System-level information; • System and security documentation.		X		

20	Comprehensive automated backup procedures **MUST** be in place. This capability includes backup of: • User-level information; • System-level information; • System and security documentation.			X	
21	Backups of critical system software and operational data **MAY** be stored in a facility that is physically separate from the operational system.	X			
22	Backups of critical system software and operational data **SHOULD** be stored in a facility that is physically separate from the operational system.		X	X	
23	Processes and procedures **MAY** be in place to protect the confidentiality, integrity, and availability of backup information at storage locations in alignment with governance and risk management policy.	X			
24	Processes and procedures **MUST** be in place to protect the confidentiality, integrity, and availability of backup information at storage locations in alignment with governance and risk management policy.		X	X	
25	There **MAY** be a program of continuous vulnerability testing of system and software components leveraged in the delivery of services to the Digital Identity Ecosystem.	X			
26	There **SHOULD** be a program of continuous vulnerability testing of system and software components leveraged in the delivery of services to the Digital Identity Ecosystem.		X		
27	There **MUST** be a program of continuous vulnerability testing of system and software components leveraged in the delivery of services to the Digital Identity Ecosystem.			X	

28	Vulnerability scanning techniques, and tools that readily update the vulnerabilities to be scanned, **MAY** be employed and operated in an automated fashion.	X			
29	Vulnerability scanning techniques, and tools that readily update the vulnerabilities to be scanned, **SHOULD** be employed and operated in an automated fashion.		X	X	
30	The organization **MAY** conduct regular penetration testing of all components leveraged in the delivery of services to the Digital Identity Ecosystem.	X			
31	The organization **SHOULD** conduct regular penetration testing of all components leveraged in the delivery of services to the Digital Identity Ecosystem.		X		
32	The organization **MUST** conduct regular penetration testing of all components leveraged in the delivery of services to the Digital Identity Ecosystem.			X	
33	Remote access methods **MAY** be controlled and monitored.	X			
34	Remote access methods **SHOULD** be controlled and monitored.		X		
35	Remote access methods **MUST** be controlled and monitored.			X	
36	Remote access **MAY** be routed through managed network access control points.	X			
37	Remote access **SHOULD** be routed through managed network access control points.		X		
38	Remote access **MUST** be routed through managed network access control points.			X	
39	There **MAY** be automated systems (e.g., provisioning, rights assignment and management) to support the management of information system accounts.	X			

40	There **SHOULD** be automated systems (e.g., provisioning, rights assignment and management) to support the management of information system accounts.			X	X	
41	Processes **MAY** be in place to automatically disable inactive accounts after a defined period of inactivity based on information system control policy.	X			
42	Processes **SHOULD** be in place to automatically disable inactive accounts after a defined period of inactivity based on information system control policy.			X	
43	Processes **MUST** be in place to automatically disable inactive accounts after a defined period of inactivity based on information system control policy.				X
44	There **MAY** be a system record automatically created for account creation, modification, enabling, disabling, and removal actions.	X			
45	There **SHOULD** be a system record automatically created for account creation, modification, enabling, disabling, and removal actions.			X	
46	There **MUST** be a system record automatically created for account creation, modification, enabling, disabling, and removal actions.				X
47	Controls **MAY** be in place to require system accounts to log out after a specified period of inactivity.	X			
48	Controls **SHOULD** be in place to require system accounts to log out after a specified period of inactivity.			X	
49	Controls **MUST** be in place to require system accounts to log out after a specified period of inactivity.				X

50	Privileged user accounts **MAY** be established and administered using a role-based access scheme.	X			
51	Privileged user accounts **SHOULD** be established and administered using a role-based access scheme.		X		
52	Privileged user accounts **MUST** be established and administered using a role-based access scheme.			X	
53	Monitoring and alarming technology components **MAY** be configured to generate real-time notifications and initiate processes for timely threat mitigation.	X			
54	Monitoring and alarming technology components **SHOULD** be configured to generate real-time notifications and initiate processes for timely threat mitigation.		X		
55	Monitoring and alarming technology components **MUST** be configured to generate real-time notifications and initiate processes for timely threat mitigation.			X	
56	Automated or manual processes **MAY** be in place to terminate shared/group account credentials when members leave the group.	X			
57	Automated or manual processes **SHOULD** be in place to terminate shared/group account credentials when members leave the group.		X		
58	Automated or manual processes **MUST** be in place to terminate shared/group account credentials when members leave the group.			X	
59	Automated processes **MAY** be in place to enforce a limit of unsuccessful login attempts and lock the account/node until released by an administrator or administrative process (e.g., forced password reset).	X			

60	Automated processes **SHOULD** be in place to enforce a limit of unsuccessful login attempts and lock the account/node until released by an administrator or administrative process (e.g., forced password reset).		X		
61	Automated processes **MUST** be in place to enforce a limit of unsuccessful login attempts and lock the account/node until released by an administrator or administrative process (e.g., forced password reset).			X	
62	The system **MAY** prevent system access after a defined period of inactivity and require that the user reestablishes access using established identification and authentication procedures. Additional guidance can be found in the PCTF Authentication Profile.	X			
63	The system **SHOULD** prevent system access after a defined period of inactivity and require that the user reestablishes access using established identification and authentication procedures. Additional guidance can be found in the PCTF Authentication Profile.		X		
64	The system **MUST** prevent system access after a defined period of inactivity and require that the user reestablishes access using established identification and authentication procedures. Additional guidance can be found in the PCTF Authentication Profile.			X	
65	If information systems allow concurrent sessions, processes **MAY** be in place to limit the number of concurrent sessions for each defined account type as per the organization's established security and access policy.	X			

66	If information systems allow concurrent sessions, processes **SHOULD** be in place to limit the number of concurrent sessions for each defined account type as per the organization's established security and access policy.		X		
67	If information systems allow concurrent sessions, processes **MUST** be in place to limit the number of concurrent sessions for each defined account type as per the organization's established security and access policy.			X	
68	Organizations **MAY** assign account managers for information system accounts and establish formal conditions for group and role membership granting access authorizations.	X			
69	Organizations **SHOULD** assign account managers for information system accounts and establish formal conditions for group and role membership granting access authorizations.		X		
70	Organizations **MUST** assign account managers for information system accounts and establish formal conditions for group and role membership granting access authorizations.			X	
71	Documented processes **MAY** be in place that require approvals for account creation and have automated procedures to monitor information system account usage.	X			
72	Documented processes **SHOULD** be in place that require approvals for account creation and have automated procedures to monitor information system account usage.		X		
73	Documented processes **MUST** be in place that require approvals for account creation and have automated procedures to monitor information system account usage.			X	

74	The organization **MAY** adhere to the principle of least privilege, allowing only authorized accesses for users (or processes acting on behalf of users) which are necessary to accomplish assigned tasks in accordance with organizational missions and business functions. This includes: • Configuration of software products to reflect the most restrictive mode consistent with operational requirements; • Restricted access to Digital Identity data using configurations that provide explicit access to only that data required by the individual or system that requires it; and • Network and communication device configurations restricting access to only those system components or services that are required.	X			

| 75 | The organization **SHOULD** adhere to the principle of least privilege, allowing only authorized accesses for users (or processes acting on behalf of users) which are necessary to accomplish assigned tasks in accordance with organizational missions and business functions. This includes:

• Configuration of software products to reflect the most restrictive mode consistent with operational requirements;
• Restricted access to Digital Identity data using configurations that provide explicit access to only that data required by the individual or system that requires it; and
• Network and communication device configurations restricting access to only those system components or services that are required. | | X | | |

76	The organization **MUST** adhere to the principle of least privilege, allowing only authorized accesses for users (or processes acting on behalf of users) which are necessary to accomplish assigned tasks in accordance with organizational missions and business functions. This includes: • Configuration of software products to reflect the most restrictive mode consistent with operational requirements; • Restricted access to Digital Identity data using configurations that provide explicit access to only that data required by the individual or system that requires it; and • Network and communication device configurations restricting access to only those system components or services that are required.			X	
77	The organization **MAY** maintain availability of information in the event of the loss of cryptographic keys by users.	X			
78	The organization **SHOULD** maintain availability of information in the event of the loss of cryptographic keys by users.		X	X	
79	The information system **MAY** implement cryptographic mechanisms to prevent unauthorized disclosure of information and detect changes to Digital Identity information during transmission.	X			
80	The information system **SHOULD** implement cryptographic mechanisms to prevent unauthorized disclosure of information and detect changes to Digital Identity information during transmission.		X		

81	The information system **MUST** implement cryptographic mechanisms to prevent unauthorized disclosure of information and detect changes to Digital Identity information during transmission.			X	
82	The organization **MAY** authorize external connections between information systems based on formal security agreements as defined in the organization's security policy.	X			
83	The organization **SHOULD** authorize external connections between information systems based on formal security agreements as defined in the organization's security policy.		X		
84	The organization **MUST** authorize external connections between information systems based on formal security agreements as defined in the organization's security policy.			X	
85	For each individual external connection between information systems, the interface characteristics, security requirements, and the nature of the information communicated **MAY** be documented.	X			
86	For each individual external connection between information systems, the interface characteristics, security requirements, and the nature of the information communicated **SHOULD** be documented.		X		
87	For each individual external connection between information systems, the interface characteristics, security requirements, and the nature of the information communicated **MUST** be documented.			X	
88	Change history for the agreement and/or interface characteristics **MAY** be maintained for external connections between information systems.	X			

89	Change history for the agreement and/or interface characteristics **SHOULD** be maintained for external connections between information systems.		X	X	
90	Internal connections between information system components **MAY** be documented, capturing the interface characteristics, security requirements, and the nature of the information communicated.	X			
91	Internal connections between information system components **SHOULD** be documented, capturing the interface characteristics, security requirements, and the nature of the information communicated.		X		
92	Internal connections between information system components **MUST** be documented, capturing the interface characteristics, security requirements, and the nature of the information communicated.			X	
93	Change history for the interface characteristics, security requirements, and the nature of the information communicated **MAY** be maintained for internal connections between information system components.	X			
94	Change history for the interface characteristics, security requirements, and the nature of the information communicated **SHOULD** be maintained for internal connections between information system components.		X	X	
95	Processes **MAY** be in place to ensure approved authorizations for controlling the flow of information within the system and between interconnected systems based on the organization's security policy.	X			

96	Processes **SHOULD** be in place to ensure approved authorizations for controlling the flow of information within the system and between interconnected systems based on the organization's security policy.		X		
97	Processes **MUST** be in place to ensure approved authorizations for controlling the flow of information within the system and between interconnected systems based on the organization's security policy.			X	
98	The organization **MAY** employ automated mechanisms to make security alerts and advisory information available to authorized security personnel.	X			
99	The organization **SHOULD** employ automated mechanisms to make security alerts and advisory information available to authorized security personnel.		X	X	
100	The organization **MAY** receive information system security alerts, advisories, and directives from recognized external authorities (for example, vendors, business partners, supply chain partners, external security authorities etc.) on an ongoing basis and generate internal security alerts, advisories, and directives as deemed necessary.	X			
101	The organization **SHOULD** receive information system security alerts, advisories, and directives from recognized external authorities (for example, vendors, business partners, supply chain partners, external security authorities etc.) on an ongoing basis and generate internal security alerts, advisories, and directives as deemed necessary.		X	X	

102	The organization **MAY:** • Identify, report, and correct information system flaws; • Test software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation; • Install security-relevant software and firmware updates within a time period, after release, defined by the organization's security policy; and • Incorporate flaw remediation into the organizational configuration management process.	X			
103	The organization **SHOULD:** • Identify, report, and correct information system flaws; • Test software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation; • Install security-relevant software and firmware updates within a time period, after release, defined by the organization's security policy; and • Incorporate flaw remediation into the organizational configuration management process.		X		

104	The organization **MUST**: • Identify, report, and correct information system flaws; • Test software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation; • Install security-relevant software and firmware updates within a time period, after release, defined by the organization's security policy; and • Incorporate flaw remediation into the organizational configuration management process.			X	
105	Formal technology change management processes **MAY** be in place to evaluate and manage risk associated with technology evolution.	X			
106	Formal technology change management processes **SHOULD** be in place to evaluate and manage risk associated with technology evolution.		X		
107	Formal technology change management processes **MUST** be in place to evaluate and manage risk associated with technology evolution.			X	
108	The organization **MAY** define, document, approve, and enforce physical and logical access restrictions associated with changes to the information system.	X			
109	The organization **SHOULD** define, document, approve, and enforce physical and logical access restrictions associated with changes to the information system.		X		

110	The organization **MUST** define, document, approve, and enforce physical and logical access restrictions associated with changes to the information system.			X	
111	Technology change management processes **MAY:** • Determine the types of changes to the information system that are configuration-controlled; • Review proposed configuration-controlled changes to the information system and approves or disapproves such changes with explicit consideration for security impact analyses; • Document configuration change decisions associated with the information system; • Implement approved changes to the information system; • Retain records of changes to the information systems for the time period specified in the change control policy; and • Coordinate and provide oversight for configuration change control activities through a formally constituted change control governance body.	X			

112	Technology change management processes **SHOULD:** • Determine the types of changes to the information system that are configuration-controlled; • Review proposed configuration-controlled changes to the information system and approves or disapproves such changes with explicit consideration for security impact analyses; • Document configuration change decisions associated with the information system; • Implement approved changes to the information system; • Retain records of changes to the information systems for the time period specified in the change control policy; and • Coordinate and provide oversight for configuration change control activities through a formally constituted change control governance body.		X	X	
113	Activity monitoring and audit trail facilities **MAY** be in place to provide a record of all digital identity-related transactions within the Digital Identity Ecosystem.	X			
114	Activity monitoring and audit trail facilities **SHOULD** be in place to provide a record of all digital identity-related transactions within the Digital Identity Ecosystem.		X		
115	Activity monitoring and audit trail facilities **MUST** be in place to provide a record of all digital identity-related transactions within the Digital Identity Ecosystem.			X	

116	Records of all digital identity-related transactions within the Digital Identity Ecosystem **MAY** be protected from alteration and limited access policies enforced.	X			
117	Records of all digital identity-related transactions within the Digital Identity Ecosystem **SHOULD** be protected from alteration and limited access policies enforced.		X		
118	Records of all digital identity-related transactions within the Digital Identity Ecosystem **MUST** be protected from alteration and limited access policies enforced.			X	
119	Audit information and audit tools **MAY** be protected from unauthorized access, modification, and deletion.	X			
120	Audit information and audit tools **SHOULD** be protected from unauthorized access, modification, and deletion.		X		
121	Audit information and audit tools **MUST** be protected from unauthorized access, modification, and deletion.			X	
122	The information system **MAY** have mechanisms in place that protect against an individual (or process acting on behalf of an individual) falsely denying having performed actions to be covered by non-repudiation.	X			
123	The information system **SHOULD** have mechanisms in place that protect against an individual (or process acting on behalf of an individual) falsely denying having performed actions to be covered by non-repudiation.		X		
124	The information system **MUST** have mechanisms in place that protect against an individual (or process acting on behalf of an individual) falsely denying having performed actions to be covered by non-repudiation.			X	

125	Audit records **MAY** be securely retained for the time period identified in the organization's information retention policy to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.	X			
126	Audit records **SHOULD** be securely retained for the time period identified in the organization's information retention policy to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.		X		
127	Audit records **MUST** be securely retained for the time period identified in the organization's information retention policy to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.			X	
128	Audit records **MAY** be generated for Digital Identity transactions containing information that establishes what type of event occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and the identity of any individuals or subjects associated with the event.	X			
129	Audit records **SHOULD** be generated for Digital Identity transactions containing information that establishes what type of event occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and the identity of any individuals or subjects associated with the event.		X		

130	Audit records **MUST** be generated for Digital Identity transactions containing information that establishes what type of event occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and the identity of any individuals or subjects associated with the event.			X	
131	Audit records **MAY** be generated for the execution of privileged system functions.	X			
132	Audit records **SHOULD** be generated for the execution of privileged system functions.		X		
133	Audit records **MUST** be generated for the execution of privileged system functions.			X	
134	Processes **MAY** be in place to ensure that only authorized personnel can execute privileged functions, including disabling, circumventing, or altering implemented security safeguards/countermeasures.	X			
135	Processes **SHOULD** be in place to ensure that only authorized personnel can execute privileged functions, including disabling, circumventing, or altering implemented security safeguards/countermeasures.		X		
136	Processes **MUST** be in place to ensure that only authorized personnel can execute privileged functions, including disabling, circumventing, or altering implemented security safeguards/countermeasure.			X	
137	Information system account usage **MAY** be monitored for atypical usage and atypical usage patterns reported and/or accounts disabled dependent on risk associated with observed atypical usage.	X			

138	Information system account usage **SHOULD** be monitored for atypical usage and atypical usage patterns reported and/or accounts disabled dependent on risk associated with observed atypical usage.		X		
139	Information system account usage **MUST** be monitored for atypical usage and atypical usage patterns reported and/or accounts disabled dependent on risk associated with observed atypical usage.			X	
140	Processes **MAY** be in place to enforce approved authorizations for logical access to information and system resources in accordance with applicable access control policies.	X			
141	Processes **SHOULD** be in place to enforce approved authorizations for logical access to information and system resources in accordance with applicable access control policies.		X		
142	Processes **MUST** be in place to enforce approved authorizations for logical access to information and system resources in accordance with applicable access control policies.			X	
143	The organization **MAY** have clearly identified data and information stewards.	X			
144	The organization **SHOULD** have clearly identified data and information stewards.		X	X	
145	The organization **MAY** have a documented API standard.	X			
146	The organization **SHOULD** have a documented API standard.		X	X	

3. Revision History

Version	Date	Author	Comment

0.01	2020-02-14	PCTF Editing Team	Initial working draft
0.02	2020-03-03	PCTF Editing Team	First complete draft
0.03	2020-03-30	PCTF Editing Team	Final draft for initial TFEC review
0.04	2020-06-05	PCTF Editing Team	Updates based on TFEC input
0.05	2020-06-29	PCTF Editing Team	Updates based on short supplemental TFEC review period
1.0	2020-07-08	PCTF Editing Team	TFEC approved as Draft Recommendation V1.0
1.1	2020-09-18	PCTF Editing Team	Updates per comments received during Draft Recommendation public review period.
1.0	2020-09-30	PCTF Editing Team	TFEC approved as Candidate for Final Recommendation V1.0
1.1	2022-08-09	PCTF Editor and Infrastructure Design Team	Final Recommendation V1.1 to incorporate alpha testing feedback
1.1	2022-09-14	PCTF Editor and Infrastructure Design Team	TFEC approved as Final Recommendation V1.1
1.1.1	2023-01-19	PCTF Editor and Infrastructure Design Team	Updates per comments received during Final Recommendation V1.1 public review period
1.2	2023-02-15	PCTF Editor and Infrastructure Design Team	TFEC approves as Candidate for Final Recommendation V1.2
1.2	2023-04-19	PCTF Editor and Infrastructure Design Team	Approved as Final Recommendation V1.2 through DIACC Sustaining Member Ballot